



I. 2.1.2 Policy Administration for Institutional Handbook of Operating Policies

Chapter 2 - General	Original Effective Date: January 2021
Section: 2.1 Official Publications	Date Last Reviewed: September 2024
Responsible Entity: Chief Compliance and Privacy Officer	Date Last Revised: September 2024

II. Purpose

This policy aims to establish a framework for the development, amendment, approval, publication, and retirement of UT Health San Antonio (UTHSA) within the Institutional Handbook of Operating Policies (IHOP).

III. Scope

This policy applies to all new IHOP policies and to existing IHOP policies as they are reviewed, amended, approved, or retired.

IV. Policy

A. Policy Management

1. UTHSA will develop and maintain IHOP Policies in accordance with the University of Texas System (UT System) Board of Regents’ Rules and Regulations, as well as federal and state laws, regulations, and relevant accreditation and governing standards, to support the Institution’s mission and core values.
2. Any employee may propose a new or revised policy by sending a completed Policy Impact Statement form via email to both the appropriate Responsible Executive and the Institutional Compliance and Privacy Office at policyadmin@uthscsa.edu.
3. Under the guidance of the Institutional Compliance and Privacy Office, the Responsible Executive must, when necessary, consult with subject matter experts for technical or legal review. Additionally, the Responsible Executive is responsible for routing the policy through all relevant channels, such as the Faculty and/or Staff Senate, Deans of affected schools; and Department Chairs.
4. If, during the pre-approval review of a new policy or amended policy, the Responsible Executive is made aware of content-related issues, they must diligently and in good faith work to address and resolve all concerns raised by the parties involved. If the Responsible Executive is unable to fully resolve these issues, they

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are responsible for informing all policy approvers of the unsolved conflicts before any approval motions are made.

5. The Institutional Compliance and Privacy Office will review and verify that all necessary steps for developing and reviewing the content have been completed before the new or amended policy is submitted for final approval.

B. Policy Approval Authority

1. The Executive Committee is responsible for exercising approval authority for all new and amended policies before they are published or republished in the IHOP.
2. The Institutional Compliance and Privacy Office will present all new or amended policies, which have been properly vetted and approved by the Responsible Executive, to the Executive Committee.
3. During state or federally declared emergencies, the Office of the President, or an assigned delegate may mandate and approve policies to manage the immediate risks posed by the disaster. These emergency policies must be communicated widely. Within sixty (60) days after the end of the declared emergency, the Responsible Executive must review the policy and recommend to the Executive Committee whether it should be approved for ongoing use or retired if no longer needed.
4. The Institutional Compliance and Privacy Office, in consultation with the Responsible Executive, is authorized to make discretionary edits without Executive Committee approval. These edits typically include formatting, grammar, or punctuation corrections, as well as changes that reflect organizational adjustments or provide additional clarity, provided they do not alter the original intentions of the IHOP Policy. Material policy changes, however, require sponsorship from the Responsible Executive, vetting through appropriate channels, and approval by the Executive Committee.

C. Policy Accessibility and Organization

1. The IHOP is the official repository for Institutional Policies and is maintained by the Institutional Compliance and Privacy Office
2. To ensure an organized system of change control, departmental websites must refer directly to the IHOP repository. Departments may, however, maintain their own protocols and procedures on their websites, provided these are not labeled as Institutional Policies. In the event of a conflict between an IHOP Policy and a departmental protocol, the Institutional Policy will take precedence.

D. Policy Template

A standard Institutional Policy Template has been adopted to ensure clarity and consistency in policy presentation. UTHSA IHOP Policies will be maintained and formatted according to the guidelines outlined below:

1. Header information: (mandatory element) (a) Institutional policy name, (b) IHOP chapter and section number, (c) Responsible Entity, (d) Effective date, (e) Date of last review, and (f) Date last revised.

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2. Purpose: (mandatory element) A statement outlining the philosophy, position, rule, regulation, or direction that aligns with the UTHSA mission and core values.
3. Scope: (mandatory element) Identifies parties to whom the policy applies. If applicable, it describes the circumstances under which the policy does or does not apply and may also outline conditions that trigger the policy's application.
4. Policy Statement: (mandatory element) Provides a description of the actual policy, including duties assigned to responsible parties and other relevant individuals; specific information pertinent to the policy subject as needed; and details on the compliance review process and authority to impose penalties or remedies for noncompliance, if applicable.
5. Definitions: (optional element) Describes the meanings of terms that are not defined within the policy statements themselves.
6. Related References: (optional element) List and, if possible, provide hyperlinks to any related policies, procedures, forms, guidelines, FAQs, training materials, or other relevant resources.
7. Review and Approval History: (mandatory element) Document the frequency of reviews, review dates, modification dates, and approving authorities. Institutional Policies must be reviewed at least once every three (3) years or more frequently if required by regulatory, accreditation, or other governing standards. Also, indicate if the policy requires approval by the UT System Board of Regents or the UT System Office of General Counsel.

V. Definitions

When used in this document, the following words have the meaning set forth below unless the context requires a different meaning.

Amendment - A change made to the IHOP, including the adoption of a new policy, revision to an existing policy, or retirement of a policy.

Policy Statement - A governing statement and expected behaviors contained in the Institution's Handbook of Operating Policies that support compliance with laws or rules of the UT System; operational efficiency, mitigation of institutional risk, or the core mission and values of the Institution. The Institutional Policy website contains criteria used for IHOP policies.

Policy Template - The standardized format used for creating or revising an IHOP policy.

Policy Impact Statement Form - An initiating document to propose an IHOP Amendment for a new policy or revision to an existing policy. It provides relevant policy-related information addressing rationale, scope, and potential impact issues (resource, operational, financial, and training).

Material Policy Change - A substantive edit to IHOP policy content, including changes to essential principle(s), scope, or application. This does not include changes that are: a) editorial, b) related to organizational reporting change, c) reformatting a policy or

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paragraph, d) updates to policy-related contacts, tools, resources, and reference citations, e) made to bring clarity or grammar improvements, or f) do not materially change the intent of the policy.

Responsible Executive – is a senior department leader who officially advances and endorses an IHOP policy. The individual is responsible for assuring appropriate policy management of a specific IHOP policy. The policy owner is considered a subject matter expert on the issue covered by the policy.”

VI. Related References

[2.1.2T Policy Template](#)

VII. Review and Approval History

The approving authority of this policy is the University Executive Committee.

Effective Date	Action Taken	Approved By	Approved Date